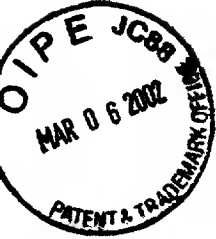


03003

Practitioner's Docket No. P-MB-01

PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: BERGMANN

Application No.: 091995,178

Group No.:

Filed: 11/27/2001

Examiner:

For: METHOD OF ASCERTAINING AN EFFICIENT
FRONTIER FOR TAX-SENSITIVE INVESTORS

Assistant Commissioner for Patents
Washington, D.C. 20231

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8(a)

I hereby certify that the attached correspondence comprising:

- Form: Notice to Correct Application Papers
- SUBSTITUTE DRAWINGS (3 PAGES - INFORMAL)
- ABSTRACT OF THE DISCLOSURE (1 PAGE)

is being deposited with the United States Postal Service, with sufficient postage, as first class mail in an envelope addressed to:

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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/995,178	11/27/2001	Michael D. Bergmann	P-M B-01

28784
O'CONNOR & O'CONNOR
4701 HOMESTEAD
LITTLETON, CO 80123

CONFIRMATION NO. 5423

FORMALITIES LETTER



OC00000007203677

Date Mailed: 12/17/2001

NOTICE TO FILE CORRECTED APPLICATION PAPERS

Filing Date Granted

This application has been accorded an Application Number and Filing Date. The application, however, is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given **TWO MONTHS** from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);
- An abstract was not provided for this application. An abstract of the technical disclosure is required under 37 CFR 1.72(b).

*A copy of this notice **MUST** be returned with the reply.*

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Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE